

|  |                               |   |                     |
|--|-------------------------------|---|---------------------|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br>(Only for new nonprovisional applications under 37 CFR 1.53(b)) | <b>Attorney Docket No.</b>    |   | AMK-11317-1D        |
|  | <b>First Inventor</b>         |   | Paul Robert Hoffman |
|  | <b>Title</b>                  | "Structures For Improving Heat Dissipation In Stacked Semiconductor Packages" |                     |
|  | <b>Express Mail Label No.</b> |   | EV 302 354 018 US   |

|   |  |
|---|--|
| <b>APPLICATION ELEMENTS</b><br>See MPEP chapter 600 concerning utility patent application contents. | <b>Commissioner for Patents</b><br><b>Mail Stop Patent Application</b><br><b>P.O. Box 1450</b><br><b>Alexandria, VA 22313-1450</b> |
|---|--|

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant Claims small entity status.  
See 37 C.F.R. § 1.27.
3. ☒ Specification [Total Pages 26]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed-Sponsored R&D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. § 113) [Total Sheets 10]
  - ☐ Informal ☒ Formal
5. ☒ Oath or Declaration [Total Pages 2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 C.F.R. § 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ Statement verifying identity of above copies

- | ACCOMPANYING APPLICATION PARTS   |  |
|--|--|
| 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))  |  |
| 10. <input type="checkbox"/> 37 CFR §3.73(b) Statement <input type="checkbox"/> Power of Attorney<br>(when there is an assignee)                           |  |
| 11. <input type="checkbox"/> English Translation Document (if applicable)  |  |
| 12. <input checked="" type="checkbox"/> Information Disclosure <input checked="" type="checkbox"/> Copies of IDS Citations<br>Statement (IDS) PTO-1449     |  |
| 13. <input checked="" type="checkbox"/> Preliminary Amendment  |  |
| 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br>(Should be specifically itemized)  |  |
| 15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br>(if foreign priority is claimed)  |  |
| 16. <input checked="" type="checkbox"/> Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i).<br>Applicant must attach form PTO-SB-35 or its equivalent. |  |
| 17. <input checked="" type="checkbox"/> Other: Recorded Assignment from Parent Application   |  |

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 C.F.R. § 1.76:

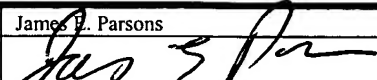
☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No. 10/013,396

Prior application information: Examiner Cuong Quang Nguyen Art Unit: 2811

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

#### 19. CORRESPONDENCE ADDRESS

|   |  |                   |  |  |  |
|---|--|-------------------|--|--|--|
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label |  | 0 2 2 8 8 8       |  | or <input type="checkbox"/> Correspondence address below |  |
| NAME  |  |                   |  |  |  |
| ADDRESS   |  |                   |  |  |  |
| CITY  |  | STATE             |  | ZIP CODE   |  |
| Country   |  | Phone             |  | FAX  |  |
|   |  | +1 (408) 451-5906 |  | +1 (408) 451-5908  |  |

|                   |   |                                   |                  |
|-------------------|---|-----------------------------------|------------------|
| Name (Print/Type) | James J. Parsons  | Registration No. (Attorney/Agent) | 34,691           |
| Signature         |  | Date                              | February 2, 2004 |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

22581 U.S. PTO  
10/771072

020204

# FEE TRANSMITTAL

## for FY 2003

*Effective 01/01/2003. Patent fees are subject to annual revision.*

☐ Applicant claims small entity status. See 37 C.F.R. § 1.27

**TOTAL AMOUNT OF PAYMENT** (\$ ) 946.00

### Complete if Known

|                        |                     |
|------------------------|---------------------|
| Application Number     | Filed herewith      |
| Filing Date            | February 2, 2004    |
| First Named Inventor   | Paul Robert Hoffman |
| Examiner Name          | unknown             |
| Art Unit               | unknown             |
| Attorney Docket Number | AMK-11317-1D        |

### METHOD OF PAYMENT (check one)

1. ☒ The Director is authorized to charge indicated fees and credit any over payments to:

Deposit Acct. No. 50-0574 (Docket No. AMK-11317-1D)

Deposit Acct Name Bever, Hoffman & Harms, LLP

☒ Charge Any Additional Fee Required Under 37 CFR § 1.16 & 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

| Large Fee Code      | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description        | Fee Paid            |
|---------------------|-----------------|----------------|-----------------|------------------------|---------------------|
| 1001                | 770             | 2001           | 385             | Utility filing fee     | 770.00              |
| 1002                | 340             | 2002           | 170             | Design filing fee      |                     |
| 1003                | 530             | 2003           | 265             | Plant filing fee       |                     |
| 1004                | 770             | 2004           | 385             | Reissue filing fee     |                     |
| 1005                | 160             | 2005           | 80              | Provisional filing fee |                     |
| <b>SUBTOTAL (1)</b> |                 |                |                 |                        | <b>(\$ ) 770.00</b> |

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

|                    | Extra Claims | Fee from below      | Fee Paid |
|--------------------|--------------|---------------------|----------|
| Total Claims       | 25           | -20** = 5 x 18.00 = | 90.00    |
| Independent Claims | 4            | -3** = 1 x 86.00 =  | 86.00    |
| Multiple Dependent |              | 290.00 =            | -0-      |

\*\*or number previously paid, if greater; For Reissues, see below

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description   |
|----------------|-----------------|----------------|-----------------|---|
| 1202           | 18              | 2202           | 9               | Claims in excess of 20                                    |
| 1201           | 86              | 2201           | 43              | Independent claims in excess of 3                         |
| 1203           | 290             | 2203           | 145             | Multiple dependent claim, if not paid                     |
| 1204           | 86              | 2204           | 43              | **Reissue independent claims over original patent         |
| 1205           | 18              | 2205           | 9               | **Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$ ) 176.00

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

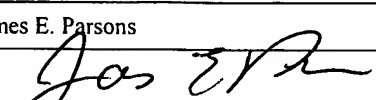
| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  | Fee Paid |
|----------------|-----------------|----------------|-----------------|--|----------|
| 1051           | 130             | 2051           | 65              | Surcharge - late filing fee or oath  |          |
| 1052           | 50              | 2052           | 25              | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053           | 130             | 1053           | 130             | Non-English specification  |          |
| 1812           | 2,520           | 1812           | 2,520           | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804           | 920*            | 1804           | 920*            | Requesting publication of SIR prior to Examiner action                     |          |
| 1805           | 1,840*          | 1805           | 1,840*          | Requesting publication of SIR after Examiner action                        |          |
| 1251           | 110             | 2251           | 55              | Extension for reply within first month                                     |          |
| 1252           | 420             | 2252           | 210             | Extension for reply within second month                                    |          |
| 1253           | 950             | 2253           | 475             | Extension for reply within third month                                     |          |
| 1254           | 1480            | 2254           | 740             | Extension for reply within fourth month                                    |          |
| 1255           | 2,010           | 2255           | 1,005           | Extension for reply within fifth month                                     |          |
| 1401           | 330             | 2401           | 165             | Notice of Appeal   |          |
| 1402           | 330             | 2402           | 165             | Filing a brief in support of an appeal                                     |          |
| 1403           | 290             | 2403           | 145             | Request for oral hearing   |          |
| 1451           | 1,510           | 1451           | 1,510           | Petition to institute a public use proceeding                              |          |
| 1452           | 110             | 2452           | 55              | Petition to revive - unavoidable   |          |
| 1453           | 1,330           | 2453           | 665             | Petition to revive - unintentional   |          |
| 1501           | 1,330           | 2501           | 665             | Utility issue fee (or reissue)   |          |
| 1502           | 480             | 2502           | 240             | Design issue fee   |          |
| 1503           | 640             | 2503           | 320             | Plant issue fee  |          |
| 1460           | 130             | 1460           | 130             | Petitions to the Commissioner  |          |
| 1807           | 50              | 1807           | 50              | Petitions related to provisional applications                              |          |
| 1806           | 180             | 1806           | 180             | Submission of Information Disclosure Stmt                                  |          |
| 8021           | 40              | 8021           | 40              | Recording each patent assignment per property (times number of properties) |          |
| 1809           | 770             | 2809           | 385             | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810           | 770             | 2810           | 385             | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801           | 770             | 2801           | 385             | Request for Continued Examination (RCE)                                    |          |
| 1802           | 900             | 1802           | 900             | Request for expedited examination of a design application                  |          |

Other fee (Specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ ) -0-

### SUBMITTED BY

|                   |   |                                   |        |           |                  |
|-------------------|---|-----------------------------------|--------|-----------|------------------|
| Name (Print/Type) | James E. Parsons  | Registration No. (Attorney/Agent) | 34,691 | Telephone | (408) 451-5906   |
| Signature         |  |                                   |        | Date      | February 2, 2004 |

Complete (if applicable)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**NONPUBLICATION REQUEST  
UNDER  
35 U.S.C. § 122(b)(2)(B)(i)**

First Named Inventor Paul Robert Hoffman

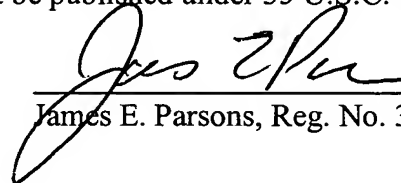
Title "Structures For Improving Heat Dissipation  
In Stacked Semiconductor Packages"

Attorney Docket Number AMK-11317-1D

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. § 122(b).

February 2, 2004  
Date

  
James E. Parsons, Reg. No. 34,691

Telephone number: (408) 451-5906

This request must be signed in compliance with 37 C.F.R. § 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. § 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. § 122(b)(2)(B)(iii)).**

This collection of information is required by 37 CFR 1.213(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.